



U.S. DEPARTMENT OF  
**ENERGY** | Legacy  
Management

# 2011–2015 HUMAN CAPITAL MANAGEMENT PLAN





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June 2011

[www.lm.doe.gov](http://www.lm.doe.gov)

# LETTER TO THE READER

The Office of Legacy Management (LM) needs skilled and engaged staff to accomplish our mission and carry out our responsibilities to the American people. This *Human Capital Management Plan* (HCMP or Plan) shows how we intend to recruit, hire, train, develop, and retain such employees.

Every 2 years, the Office of Personnel Management (OPM) conducts a survey to assess human capital programs and employees' viewpoints regarding those programs. We take the results of this survey so seriously that we have organized our objectives and strategies according to OPM's categories.

Our 2011–2015 *LM Human Capital Management Plan* differs from previous versions not only in enhanced visual appeal (including photos of LM staff and sites) but also in showing direct links between our objectives, strategies, and activities and the human capital issues most important to President Obama's Administration, the Department, and our own management and staff.

We thank the LM Management Team and other staff who contributed to and commented on this plan. We all know that for the LM HCMP to succeed we must continually evaluate our progress and adjust our plan accordingly. Whether we will need to revise our hiring processes to more efficiently bring the right talent onboard, or conceive workforce and knowledge management plans that appropriately anticipate future needs, we are committed to the spirit of this plan and will hold ourselves accountable for making it happen.

Sincerely,



A handwritten signature in blue ink, reading "D.W. Geiser".

David W. Geiser  
Director, Office of Legacy Management

A handwritten signature in blue ink, reading "Barbara McNeal Lloyd".

Barbara McNeal Lloyd  
Director, Office of Business Operations



A handwritten signature in blue ink, reading "Thomas C. Pauling".

Tom Pauling  
Director, Office of Site Operations

A handwritten signature in blue ink, reading "Patricia Poole-Shirriel".

Patricia Poole-Shirriel  
Team Leader, Human Resources and Administrative Team



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# I. Introduction to LM and this Plan

## A. LM Mission, Vision, Goals and Objectives, and Core Values

### *Mission*

DOE established LM on December 15, 2003, with the mission to fulfill the Department's post-closure responsibilities and ensure the associated future protection of human health and the environment. The vision, goals and objectives, and core values below, taken from LM's 2011–2020 *Strategic Plan* ([http://www.lm.doe.gov/linkfiles/Strategic\\_Plan/2011-2020\\_Strategic\\_Plan.aspx](http://www.lm.doe.gov/linkfiles/Strategic_Plan/2011-2020_Strategic_Plan.aspx)), are repeated here to explain the range and depth of knowledge, skills, and abilities LM's people must collectively possess to accomplish this mission.

### *Vision*

*An organization's vision is not about itself; rather, it describes the imagined possible future state that would result from full accomplishment of its mission. It's the portrait of our envisioned success:*

- The Department's legacy workforce, communities, and the environment are well protected and served.
- Consistent and effective long-term surveillance and maintenance protects people and the environment.
- The public has easy access to relevant records and information.
- Because we work together, stakeholders and state, tribal, and local governments trust us.
- The Department's former contractor workforce receives mandated benefits on time.
- Land is available for optimal use.
- Communities are treated fairly and have meaningful involvement.

### *Goals and Objectives*

#### *Goal 1 – Protect human health and the environment.*

- Comply with environmental laws and regulations.
- Reduce health risks and long-term surveillance and maintenance costs.
- Partner with other Federal programs to learn how to make environmental remedies better and last longer.
- Oversee DOE implementation of Executive Order 12898, *Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations*.

#### *Goal 2 – Preserve, protect, and share records and information.*

- Meet public expectations for outreach activities.
- Protect records and make them accessible.
- Protect and ensure access to information.







*Goal 3 – Meet commitments to the contractor workforce.*

- Safeguard contractor pension plans.
- Fund contractor health and life insurance.

*Goal 4 – Optimize the use of land and assets.*

- Optimize public use of Federal lands and properties.
- Transfer excess government property.
- Improve domestic uranium mining and milling operations.

*Goal 5 – Sustain management excellence.*

- Renew LM's designation as a high performing organization (HPO).
- Implement LM's *Human Capital Management Plan* (HCMP).
- Operate in a sustainable manner and reduce LM's carbon footprint.

## *Core Values*

To accomplish our mission and achieve our vision, LM must rely on the capabilities and dedication of its staff. To this end, the LM HCMP establishes the framework of programs and practices that will guide us in meeting the needs of our workforce. This plan includes strategies and actions that will enable us to improve the way we attract, hire, develop, retain, empower, and improve the lives of our workforce now and in the future. The HCMP is all about our people—what they can do to more effectively achieve our mission and what we can do to more effectively grow and develop them—and it is reflective of and supported by the LM core values:

- **People** – People are our most important resource. We respect and use our experience and skills and appreciate our diversity.
- **Business Excellence** – We are fiscally responsible and actively pursue best business practices.
- **Safety** – We protect our human and material resources and promote safe work practices within our offices and at our sites.
- **Communication** – We take full advantage of our virtual organization's strengths and share information freely across all levels of the organization.
- **Leadership and Teamwork** – We encourage leadership and teamwork at all levels of the organization. We value active participation and demonstrate respect for each other.
- **Customer Focus** – We openly communicate with all our customers in a timely manner and actively seek opportunities to improve our services.
- **Environmental Stewardship** – We consult with our communities to make informed decisions that comply with environmental laws, regulations, and agreements; support environmental justice; and demonstrate respect for the environment.

## B. Results from the 2010 OPM Survey

### *Results Summary*

In 2010, the average LM response to the Federal Employee Viewpoint Survey questions was 7 percent higher (more favorable) than the DOE average. In addition, LM employees gave the organization scores that were 10 percent (or more) higher than the DOE average on nearly 40 percent of the 78 questions. This tells us that relative to the Department as a whole, LM employees are satisfied and believe the organization is a good place to work. However, LM employees ranked the organization below the DOE average on 18 percent of the questions (14 of 78). Based on these questions we have identified four primary areas for improvement. Those areas are summarized below and specific actions are included in this Plan.

### *Areas for Improvement*

1. Over the next 5 years we must improve our ability to recruit employees with the right skills. Employees report that their workload is not reasonable, therefore we intend to work diligently to recruit more employees, with the right skills.
2. We need to improve manager and employee understanding of the current Performance Management System.
3. We need to do a better job of sharing knowledge and cooperating to get work done.
4. LM needs to focus more on diversity initiatives of all kinds; LM lags slightly behind DOE in terms of managers, supervisors, and team leads working well with employees of different backgrounds.

### *Notable Trends*

LM employees showed an increase in job satisfaction by 10 percent since 2006. Leaders are consistently rated higher today than in 2006 in five categories: communication and employee feedback, supporting employee development, generating employee respect and high levels of motivation, linking pay to performance, and implementing policies and programs that promote diversity. Overall, 73 percent of LM employees reported that their immediate supervisor or team lead was doing a good job compared to 60 percent in 2008 and 60 percent in 2006. We are proud of our accomplishments in these areas.



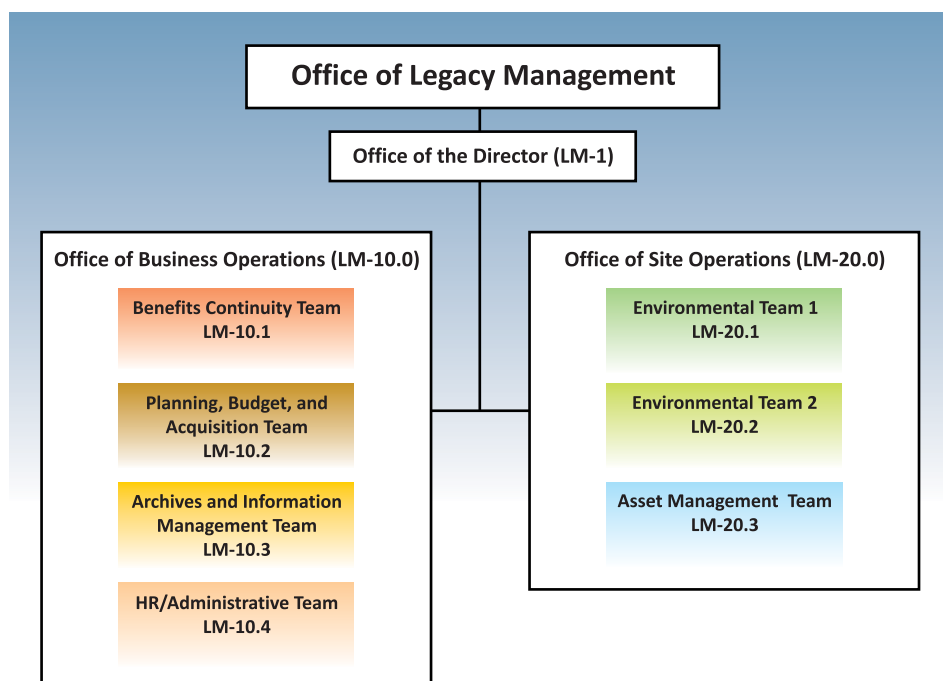
## II. LM Human Capital Management Plan 2011–2015: Where We Are, Where We Need to Be, How to Get There

In February 2007, the Office of Management and Budget (OMB) designated LM as a High Performing Organization (HPO). We are proud of the work we have done to earn that distinction and are determined to maintain this standard for ourselves and our customers. In order to maintain this standard, we will need more human capital. More sites have been remediated since 2007, increasing LM's scope, and we expect even more new scope over the next 5 years.

This section of the plan therefore examines where we are today, and where we need to be, in terms of the following: organizational structure, staffing levels, grade structure, technical capability, workforce planning, diversity, and geography.

### *Organizational Structure*

LM's structure, designed to focus on the four program goals and the fifth goal of management excellence, has worked, and we intend to keep it essentially the same for the next 5 years. In preparation for the future, we did make two organizational adjustments in fiscal year (FY) 2011. With the increase in the number of sites and the significant differences between managing Uranium Mill Tailings Radiation Control Act (UMTRCA) sites; Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) sites; and Resource Conservation and Recovery Act (RCRA) sites; we decided to split the single Environment Team into two, with LM-20.1 devoted to UMTRCA and LM-20.2 to CERCLA and RCRA. We also changed the name of the Property Reuse Team to the Asset Management Team to better reflect its responsibilities.





## *Staffing Levels*

Although our mission will stay essentially the same over the next 5 years, the increase in scope will require more staff. We expect to be responsible for significant workload increases, including both ongoing and new activities in the following areas:

- 33 more sites – from 87 to 120 (5 full-time equivalent (FTE) employees by FY 2015).
- Start of operations at a new mercury storage facility in FY 2013 (1 FTE employee by FY 2013).
- Responsibility for records and information management of the Yucca Mountain Transition Project (2 FTE employees by FY 2012).
- Improve the nation's ability to mine and mill uranium in an environmentally sustainable manner (0.5 FTE employee by FY 2012).



Under the original HPO designation, LM Federal staffing was authorized at 58, falling to 57 in 2009 with the transfer of labor relations and labor standards functions to the Office of General Counsel. We have asked for a total of 60 Federal staff in FY 2012, including two to manage the Yucca Mountain Transition Project work and one to support the growth in site responsibility through 2012. We anticipate needing five to seven additional staff over the next 5 years as the workload increases. A specific staffing plan will be proposed with our HPO renewal in late FY 2011.

## *Grade Structure*

LM is required, as part of our OMB designation as an HPO, to report quarterly on the organization's average grade level. Unlike organizations created from competitive sourcing proposals, LM is authorized to change grade levels on individual positions as long as the average is GS-13 or below. Over the next 5 years, LM will reduce the grade level for most nonsupervisory GS-15 positions. LM will also introduce more and wider career ladders to those positions that have experienced excessive turnover or been difficult to fill. Through these steps, we will sustain our requirement for an average grade level of GS-13 and increase our ability to train and retain employees for a longer period of time.

## *Technical Capability*

The LM mission requires a broad range of education, training, and technical skills on the part of our Federal employees. We need general engineers, physical scientists, geologists, actuaries, certified realty officers, information technology specialists, property management specialists, and records experts. We have a wide range of skills for a relatively small organization.

Most of our added workload over the next 5 years, the result of an increase in site management responsibility as new sites are transferred to us, will require more site managers, engineers, and physical scientists, as well as property specialists and public outreach and communications experts.

## *Federal Outsourcing*

With government agencies facing loss of personnel to retirement, shrinking budgets, and a refocus of funding in the face of unprecedented financial issues, LM will continue to use outsourcing as a means to reduce and control operating costs and bring in specialized expertise. Specifically, LM pays for Federal support from other parts of DOE (i.e., legal, human resources, procurement) and from other Federal agencies (i.e., General Services Administration, U.S. Army Corps of Engineers) for realty support.

## *Workforce Planning*

Workforce planning is key to LM's continual development of its leadership and employee capabilities. In pursuit of this goal, we focus particularly on performance management, career and professional development, knowledge management, and communication. We encourage our employees to take charge of their own careers and provide them the support they need to achieve their goals.

Given the reality that 43 percent of our current workforce is or will be retirement eligible within the next 5 years, we are thinking about and planning for unanticipated as well as anticipated departures to prepare to effectively handle current workload as well as increases in scope.

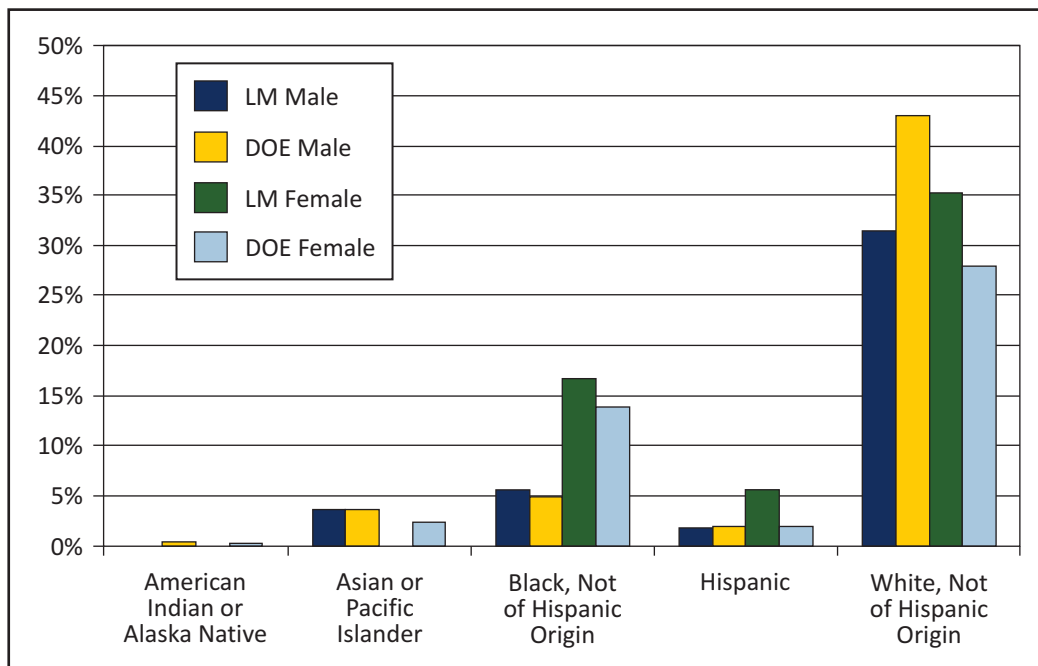


## *Diversity*

Diversity is an LM strength. Since standing up in December 2003, LM has hired from a wide variety of Federal agencies and the private sector, bringing new ideas and broader experience to LM. We have also hired from colleges and universities through the DOE intern program, which has allowed a knowledge transfer between the departing workforce and recent hires.

In terms of gender and race, the LM Federal workforce exceeds the Department averages for both women and minorities except Asian women and Native Americans. Our 10-person management team includes four women and three African Americans. The lack of Native Americans is of concern because a lot of our site work, particularly in the West, involves Native American Tribes. LM will continue to evaluate the diversity of our Federal staff relative to DOE and to the U.S. population as a whole.

**LM and DOE Diversity 2011**



## Geography

LM has primary offices in Washington, DC; Morgantown, West Virginia; Westminster, Colorado; and Grand Junction, Colorado; and satellite offices in Las Vegas, Nevada, and Fernald and Mound, Ohio. The satellite offices allow direct oversight of our more costly projects and also make us more easily accessible to our most active stakeholders. Over the next few years the number of satellite offices will decline, allowing us to transfer the Federal employees in Las Vegas and Mound to other locations.

Location	Number of LM Staff
Washington, DC	20
Grand Junction, CO	18
Morgantown, WV	11
Westminster, CO	8
Las Vegas, NV	2
Fernald and Mound, OH	1
<b>Total</b>	<b>60</b>

### III. LM's Human Capital Objectives and Planned Actions

The remainder of this document explains how we plan to achieve our human capital objectives. It is important to note that our plan is in alignment with the DOE HCMP (refer to Appendix B), the Office of Personnel Management (OPM) Human Capital goals, and the goals articulated by the Obama Administration. Over the next 5 years, we will execute this plan, hold ourselves accountable for results, continually measure our performance against defined metrics, and adjust our actions along the way as needed.

#### A. Objective 1: Recruit, develop, and retain a best-in-class workforce.

Access to the right people, with the right skills, at the right time is essential to the successful achievement of an organization's mission.

Objective 1 aligns with the OPM Human Capital goals to "Hire the Best" and "Respect the Workforce" and with the Obama Administration's directive to "Improve the Federal Hiring Process," "Improve Personnel Analytics," "Restore the Balance Between Work Done by Federal Employees and Work Done by Contractors," and with the *Hiring Reform Plan* put forth by the DOE Under Secretary. Here are our plans for achieving this objective.

#### Strategy 1 – Develop and implement a workforce plan that identifies current, and plans for future, mission-critical positions in LM.

As noted earlier, 43 percent of our current workforce is or will be eligible to retire within the next 5 years. Strategic workforce planning is thus not merely important but urgent, especially in the face of significant increases in program scope.

##### Key Actions

- Define and describe "key positions" that directly support LM strategy.
- Identify employees eligible to retire in the next 5 years and determine future LM needs in alignment with the LM 2011–2020 *Strategic Plan*.
- Identify key positions, skills, certification requirements, or LM-distinct knowledge that will be hard to replace, and our current bench strength or external sourcing potential for replacing key positions when they become vacant.
- Develop a vacancy strategy for each key position (e.g., train current LM employees, consider sources for external candidates, etc.).





## Strategy 2 – Increase efficiency of hiring and onboarding processes and make new employees glad to be here.

The ability to attract, hire, and bring onboard new LM employees efficiently is essential to the continued growth of our organization. Over the past 5 years, our number of vacancies has increased from 2 in 2006 to 9 in 2009 and 12 in 2010. These vacancies are often hard to fill because the positions require specialized skills which are sometimes difficult to find. To that end, we must be innovative in our sourcing of candidates and efficient and deliberate in the steps we take to attract, hire, and welcome them to our LM team.

### *Key Actions*

- Define and communicate hiring roles and responsibilities.
- Improve the interview process to ensure that we assess candidates' managerial, leadership, and competency-based skills as well as their technical expertise.
- Train our management on best-practice recruiting and interviewing techniques (e.g., behavior-based interviewing).
- Identify new sources to find candidates for traditionally hard-to-fill positions that require specialized expertise.
- Define, communicate, and improve our onboarding process to make sure all new employees get the same important and useful information.



## Strategy 3 – Implement retention strategies to maintain a high-quality workforce.

Since LM was established in 2003, we have invested significant resources to hire, train, and develop our employees. With an average turnover rate of 14 percent (7 employees per year) since 2006, due only partially to retirements, we must act to retain our best staff longer.

### *Key Actions*

- Analyze our teams and locations to see where retention has been a particular issue over the past 5 years.
- Determine why retention problems exist in certain areas but not in others.
- Implement an exit interview process and make any possible changes based on lessons learned.
- Devise and implement targeted strategies to improve retention.



### *Measures of Success*

- Workload analysis and workforce planning have been completed and LM staffing decisions are made according to the analysis and planning.
- Roles and responsibilities in the hiring and onboarding processes have been defined, communicated, and implemented across LM to promote more effective hiring.
- Retention strategies are in place to retain more employees in mission-critical positions.

## **B. Objective 2: Promote a performance-based culture.**

LM's stakeholders, and most importantly the public we serve, are demanding greater accountability from our programs. This means that we need a commitment from the entire LM organization to work together to achieve our goals and agreement to hold our staff and ourselves accountable when expectations are not met.

Objective 2 is key to our continued success and aligns with the OPM Human Capital goals to "Respect the Workforce," "Expect the Best," and "Honor Service," as well as the Obama Administration's call to "Improve Personnel Analytics." Here are our plans for achieving this objective.


### **Strategy 1 – Design and implement communication methods and tools to inform and educate staff on working in a performance-based culture.**

To truly establish a performance-based culture in LM, we need two-way open and transparent communication from the top levels, including assuring our staff that leadership is listening to them and engaging them in the process of organizational change. An inspired and empowered staff is easier to manage, more productive, and eager to make the necessary changes to improve our program operations. When our employees know that we count on them to achieve desired results and that we hold ourselves to the same standard, they will be more likely to hold themselves accountable.

### *Key Actions*

- Define "performance-based culture" in the context of LM's strategy.
- Incorporate performance-based accountability mechanisms into performance evaluations, including measures of success aligned with LM's overall strategy.
- Create formal interactive training programs on performance-based culture and deliver to all LM employees.
- Schedule training on delivering effective performance feedback for all members of our Management Team.





## Strategy 2 – Implement methods and tools to effectively manage employees in a virtual organization.

LM is a virtual environment with 60 authorized FTEs across 7 locations. Although a significant number of the LM staff is currently located in Washington, DC, almost two-thirds of our workforce comprises other LM employees in six different sites across the country. We are committed, though physically separated by distance and time zones, to use modern technology to let us work as a seamless unit to deliver on our objectives and achieve our mission.

### *Key Actions*

- Design communication opportunities and methods to ensure consistent experiences across LM regardless of location.
- Review existing tools and resources used to manage and work in a virtual environment to determine effectiveness and identify areas for improvement (e.g., webinars, instant messaging, etc.).
- Train LM managers and teams on how to manage and work in a virtual environment.
- For teams that are geographically dispersed, give members the tools, resources, and training to work in a virtual environment.

## Strategy 3 – Review existing programs and develop new programs to celebrate employee successes.

Rewarding employees through monetary and nonmonetary awards and recognition is critical to staff motivation and commitment to the organization and its mission. Our program includes both monetary awards (On-the-Spot, Performance, and Special Act awards) and nonmonetary awards (pins and plaques based on length of service and paid time off). We are not sure the existing programs are enough to keep our staff engaged, so we will evaluate our current programs and revise as necessary.

### *Key Actions*

- Meet with staff to understand what types of recognition, rewards, and awards motivate them.
- Research successful awards and recognition programs in other DOE organizations and other Federal agencies.
- Identify and design formal and informal programs to recognize, reward, and thank our people for jobs well done, including drafting program parameters and requirements.
- Align our awards and recognition programs to performance goals and accountability expectations.
- Find ways to spread the word about recipients of awards and recognition across LM and DOE.

## Strategy 4 – Foster demographic diversity and diversity of perspective throughout LM.

A recent analysis of LM's diversity statistics shows we have maintained fairly steady diversity statistics over the past 4 years. Although this is positive, we have some work to do to promote greater diversity in specific LM geographic locations.

Compared with the rest of DOE, LM is slightly more diverse in terms of race for Black (both male and female) and Hispanic (male) categories and slightly less diverse in the categories of Asian or Pacific Islander (female).

Although maintaining a demographically diverse workforce in terms of age, gender, and national origin is essential and mandated in Federal agencies, diversity of perspective—employee work history, experience, education, and interests—is equally important. As we continue to grow and build a strong performance-based LM culture, we must be mindful of promoting an environment where diversity of all kinds is a factor in our hiring, employee development, retention, and other programs.

### *Key Actions*

- Promote awareness of cultural differences through special DOE events and training.
- Make diversity of background and perspective a consideration in all aspects of recruiting, hiring, and retention, including increasing demographic diversity in team and geographic locations, where needed.
- Ensure our diversity champion continues to promote activities for staff to learn about the unique interests, hobbies, and backgrounds of their LM colleagues, e.g., through employee of the month write-ups.

### *Measures of Success*

- Staff and leadership performance plans are measurably linked to LM objectives.
- Communication systems enhance ongoing feedback between staff and leadership to continually strengthen our culture and promote a consistently positive experience across LM, including the virtual working environment.
- Our awards and recognition program links to employee performance goals.
- Diversity analysis identifies underrepresentation and describes outreach efforts to promote increased representation in necessary areas and sites.



### C. Objective 3: Develop strong leaders throughout LM.

LM's Management Team, the three Directors and seven Team Leaders responsible for managing our operations and staff, must be strong and knowledgeable leaders. Leadership does not stop there—the characteristics of a good leader must exist in all levels of our organization.

Objective 3, which is critical for LM to maximize the potential of its workforce, aligns with the OPM Human Capital goals to “Respect the Workforce” and “Expect the Best” and with the Administration’s plans to “Improve Federal Manager and Employee Training.” Here are our plans for achieving this objective.



#### Strategy 1 – Develop and implement a leadership competency model.

Although identifying the necessary knowledge, skills, and abilities of a successful Management Team is essential, it is equally important to know and increase the Team’s current leadership strengths and to discover and fix any weaknesses. A leadership competency model is the starting point for identifying, evaluating, and ultimately building strong leadership and leadership potential.

#### *Key Actions*

- Develop an LM leadership competency model to identify what we want in our leaders and why those competencies are so important.
- Assess our leadership competencies.
- Incorporate leadership competencies into leadership development programs through training, coaching, and performance management.
- Focus on closing gaps in the necessary leadership areas by linking existing programs for leadership and staff-level training and coaching to the leadership competency model.





## Strategy 2 – Evaluate and promote leadership development programs designed to maximize leadership potential.

LM's strong leadership and staff-level coaching program helps team members build the skills they need. To date, 8 of our Management Team members have participated in the Leadership Coaching program and 12 staff members have participated in the LM Individual Contributor coaching program. Three managers have attended the Federal Executive Institute (FEI) leadership program, and LM intends to send a manager each year. In addition, all LM managers are required to attend the DOE Supervisory Essentials Strategies for Success training, which focuses on a manager's role related to equal employment opportunity; preventing waste, fraud, and abuse; labor relations; creating a safe and secure working environment; discipline; and performance management. While this course covers some of the basics a new manager needs to know, we need to identify and implement leadership development programs with a competency-based curriculum.

### *Key Actions*

- Review existing leadership development programs attended by LM employees to determine success and impact (e.g., Supervisory Essentials Strategies for Success, FEI program, and coaching program).
- Benchmark leadership development programs within DOE, other Federal agencies, or external providers and choose the ones that align best with needed LM leadership competencies.
- Include minimum mandatory leadership development program participation requirements in our performance plans.

### *Measures of Success*

- A robust leadership competency model, containing all necessary and sufficient attributes, has become a routine part of hiring and leadership development. The model is built into our interview guide, coaching programs, and leadership training and performance management programs.
- A process exists to assess leadership competencies in our leadership development programs and an assessment has been completed to identify gaps of our current leaders and in current programs.





## D. Objective 4: Promote employee development.

When fully staffed, LM has approximately 50 staff-level (i.e., nonmanagement) employees occupying positions such as physical scientists, program analysts, engineers, administrative professionals, and other positions key to fulfilling our program and operational goals. LM needs, but lacks, a standardized, consistent approach to developing and growing this staff. We know that to build and maintain a top-notch workforce requires continual focus on motivating and developing each person's unique and specialized talents.

Objective 4 aligns with the OPM Human Capital goals to “Respect the Workforce” and “Expect the Best” and with the Administration's plans to “Improve Federal Manager and Employee Training.” Here are our plans for achieving this objective.

### Strategy 1 – Develop and staff programs to build high-quality talent within LM.

One of the key factors in building a successful, skillful, and experienced workforce is shared accountability for development, where employees take charge of their own careers and use available resources and tools to identify their development objectives and associated training needs. For its part, management must support staff by giving constructive performance feedback and regularly participating in career development discussions. It is also critical that our employees are trained and up-to-speed on Department-wide and LM-specific information technology systems that are used in carrying out or supporting their job responsibilities.

#### *Key Actions*

- Participate in the DOE-wide Training Needs Assessment to identify formal training available to close competency gaps.
- Identify certification requirements necessary to support achievement of desired skill levels linked to the needs of LM and the individual.
- Publish a list of developmental opportunities and make it accessible to our staff, showing how developmental opportunities link to LM's objectives.
- Attend management training on employee development.
- Conduct annual career development discussions with staff to confirm career interests and plans through the use of an Individual Development Plan (IDP).
- Train employees as necessary on Department-wide and LM-specific technologies used by LM staff (e.g., Learning Management System, Quick Hire, CHRIS, etc.)

#### *Measure of Success*

- We have a policy, shared by employees and our managers, of joint accountability for development, including the use of IDPs and regular discussions between employees and their managers on career development planning.



## E. Objective 5: Collect and leverage mission-critical knowledge.

With so many retirement-eligible staff, it is critical that we establish programs and processes to maintain and preserve mission-critical LM knowledge. LM uses tools such as a shared computer drive and the LM Intranet (with plans shortly to launch Powerpedia) to store documents and deliverables. Some teams have documented Standard Operating Procedures (SOPs), but overall we lack a consistent approach to knowledge management.

Objective 5 is of immediate importance to LM and aligns with the OPM Human Capital goal to “Expect the Best” in terms of giving our employees the knowledge-management tools needed for continuity of operations as key people retire or otherwise leave LM, and with the Administration’s goal to “Improve Federal Manager and Employee Training.” Here are our plans for achieving this objective.

### Strategy 1 – Define, develop, and implement a process to protect and maintain LM mission-critical knowledge.

Of today’s 24 employees eligible to retire over the next 5 years, 62.5 percent have been with LM from its start in December 2003. Because critical information and data about LM’s past operations could be lost as these people depart, knowledge management must be paramount in our HCMP.

#### *Key Actions*

- Identify and train backups for all key positions and impending retirees and develop a plan to cross-train them (e.g., shadowing, one-on-one training, rotational assignments, PowerPedia).
- Identify or develop key work products, templates, and processes for all key positions.
- Set up a knowledge-sharing portal where templates, SOPs, LM 2011-2020 *Strategic Plan*, organizational briefings, and other documents can be posted for others to access and review as necessary, and define mandatory requirements for maintaining a document repository.
- Hold ongoing informal cross-training sessions within Teams and across LM as appropriate.

#### *Measure of Success*

- A published LM knowledge-management process is in place to execute backup and cross-training plans and define employee usage of knowledge-management tools to maintain mission-critical knowledge, SOPs, templates, and other essential documents.



# APPENDIX A

## Appendix A

### Matrix of Performance Measures and Milestones by Objective and Date

#### Objective 1: Recruit, develop, and retain a best-in-class workforce.

Strategies	Performance Measures	Milestone	Date
Develop and implement a workforce plan that identifies current, and plans for future, mission-critical positions in LM.	Workload analysis and workforce planning have been completed and LM staffing decisions are made according to the analysis and planning.	Workload analysis presented to management that documents the impact of new sites on the staffing and workload requirements.	FY 2011
		Implement recommendations and staffing strategy based on workload analysis.	FY 2011–FY 2015
		Workforce planning for “key” positions (including retirees) within the organization has been completed.	FY 2011
		Hiring decisions and recruiting strategies are made according to the workforce planning recommendations (e.g., positions will be advertised at the identified level, position descriptions will be drafted according to the documented skill, certification, requirements, etc.).	FY 2012–FY 2015
Increase efficiency of hiring and onboarding processes and make new employees glad to be here.	Roles and responsibilities in the hiring and onboarding processes have been defined, communicated, and implemented across LM to promote more effective hiring.	Roles and responsibilities in the hiring process have been identified, documented, and communicated to the LM Management Team and other responsible parties.	FY 2011
		Roles and responsibilities in the LM onboarding process have been identified and documented.	FY 2011
		LM has identified and created training on best practice recruiting and interviewing techniques and made it available to the LM Management Team.	FY 2011
		LM has analyzed sourcing possibilities for positions with hard-to-find and specialized expertise and implemented new strategies as necessary.	FY 2011
		The LM Management Team is being held accountable for following the hiring process and utilizing required forms and guidelines.	FY 2012
		Roles and responsibilities in the LM onboarding process have been communicated to the LM Management Team and other responsible parties and the LM Management Team is being held accountable for following the on-boarding process and utilizing required documentation and support material.	FY 2012
Implement retention strategies to maintain a high-quality workforce.	Retention strategies are in place to retain more employees in mission-critical positions.	LM has designed and implemented an exit interview questionnaire with questions focusing on understanding why the employee is leaving LM.	FY 2011
		LM has identified teams, locations, and groups where there may have been high turnover over the past 5 years.	FY 2011–FY 2015
		LM has analyzed turnover and retention and documented the reasons for high turnover where it exists.	FY 2011–FY 2015
		LM has identified, developed, and implemented solutions to any retention issues discovered.	FY 2011–FY 2015

## Appendix A (continued)

### Matrix of Performance Measures and Milestones by Objective and Date

#### Objective 2: Promote a performance-based culture.

Strategies	Performance Measures	Milestone	Date
Design and implement communication methods and tools to inform and educate staff on working in a performance-based culture.	Staff and leadership performance plans are measurably linked to LM objectives.	LM organizational goals continue to be documented and communicated to LM staff and management.	FY 2011–FY 2015
		LM staff and management are required to link individual performance goals to LM Office goals.	FY 2011–FY 2015
	Communication systems enhance ongoing feedback between staff and leadership to continually strengthen our culture and promote a consistently positive experience across LM, including the virtual working environment.	LM has identified, reviewed, and assessed effectiveness of existing internal communications methods, including communication within a virtual environment.	FY 2011–FY 2015
		LM has recommended methods to improve and enhance internal communication within LM, including communication within a virtual environment.	FY 2011–FY 2015
Implement methods and tools to effectively manage employees in a virtual organization.	Communication systems enhance ongoing feedback between staff and leadership to continually strengthen our culture and promote a consistently positive experience across LM, including the virtual working environment.	LM has reviewed existing virtual team and management tools (e.g., conducted focus groups and surveys of staff, reviewed usage metrics, etc.), and assessed effectiveness (and reasons for ineffectiveness where applicable).	FY 2011–FY 2015
		LM has researched and recommended new virtual team and management tools for use within LM.	FY 2011–FY 2015
		LM has provided training on use of virtual team and management tools and tips on how to work and manage in a virtual environment where necessary.	FY 2011–FY 2015
Review existing programs and develop new programs to celebrate employee successes.	An awards and recognition program linked to employee performance goals.	LM has implemented informal reward and recognition methods across LM.	FY 2011–FY 2015
		LM has conducted focus groups with staff to determine reward, award, and recognition motivation factors.	FY 2012
		LM has reviewed current award, reward, and recognition programs to determine if current programs are aligned with employee motivation factors, as well as performance goals, accountability expectations, and LM values, and where gaps exist.	FY 2012–FY 2015
		LM has researched successful award, reward, and recognition programs at other agencies to determine programs that align with LM employee motivation factors, performance goals, and LM values.	FY 2012–FY 2015
		LM has identified and recommended new formal award, reward, and recognition programs to the LM Management Team.	FY 2012–FY 2015
		LM management has approved the design and implementation of new award, reward, and recognition programs and LM staff and management have been informed of and trained on the new program.	FY 2012–FY 2015

## Appendix A (continued)

### Matrix of Performance Measures and Milestones by Objective and Date

#### Objective 2: Promote a performance-based culture. (continued)

Strategies	Performance Measures	Milestone	Date
Foster demographic diversity and diversity of perspective throughout LM.	Diversity analysis identifies underrepresentation and describes outreach efforts to promote increased representation in necessary areas.	LM has up to date diversity statistics for all LM departments, programs, locations, positions, grade (GS) level, etc., and has analyzed statistics to determine where underrepresentation issues exist.	FY 2011–FY 2015
		LM has identified, developed, and implemented outreach efforts to promote increased representation in necessary areas.	FY 2011–FY 2015
		LM diversity champion has identified potential diversity awareness types of programs and events that may be interesting to staff.	FY 2011–FY 2015
		LM diversity champion has designed an annual calendar of internal diversity programs and events that have been published on the LM Intranet and communicated via other applicable methods.	FY 2011–FY 2015
		LM diversity champion educates LM staff and management on relevant diversity-related external special events and conferences.	FY 2011–FY 2015
		LM has analyzed results of outreach efforts to determine effectiveness.	FY 2012–FY 2015

#### Objective 3: Develop strong leaders throughout LM.

Strategies	Performance Measures	Milestone	Date
Develop and implement a leadership competency model.	A robust leadership competency model, containing all necessary and sufficient attributes, has become a routine part of hiring and leadership development. The model is built into our interview guide, coaching programs, and leadership training and performance management programs.	LM has identified leadership competencies most important for leadership positions within LM and conducted a competency assessment of LM leadership relative to the leadership competencies identified for LM.	FY 2012
		LM has incorporated leadership competencies as part of the assessment criteria in the hiring process (e.g., behavior-based interview questions).	FY 2012–FY 2013
		LM conducts regular feedback sessions with LM leaders to assess whether current leadership development programs are the right ones for LM leaders in terms of competencies covered, leadership skills gained, etc.	FY 2012–FY 2015
Evaluate and promote leadership development programs designed to maximize leadership potential.	A process exists to assess leadership competencies in our leadership development programs and an assessment has been completed to identify gaps in our current leadership and in current programs.	Management has identified leadership competency gaps in leadership teams and identified strategies (e.g., training, leadership development programs, coaching, etc.) to close gaps.	FY 2012–FY 2013
		LM has reviewed existing leadership development programs and incorporated leadership competencies into the programs as necessary.	FY 2013–FY 2015



## Appendix A (continued)

### Matrix of Performance Measures and Milestones by Objective and Date

#### Objective 4: Promote employee development.

Strategies	Performance Measures	Milestone	Date
Develop and staff programs to build high-quality talent within LM.	A policy is shared by employees and our managers, of joint accountability for development, including the use of IDPs and regular discussions between employees and their managers on career development planning.	LM has drafted and implemented an employee development policy highlighting the importance of shared accountability.	FY 2012
		LM has developed and implemented management training on the LM employee development process, the importance of employee development within LM, how to help employees identify appropriate development opportunities, and how to have employee development conversations and provide effective feedback, etc.	FY 2012–FY 2013
		LM has conducted staff training on the importance of taking charge of one's own career, the link between individual development and the success of LM, and how the IDP can be used as a development tool to achieve individual success.	FY 2012–FY 2013
		The LM Management Team is held accountable in their own performance evaluations for having employee development discussions on at least an annual basis.	FY 2014

#### Objective 5: Collect and leverage mission-critical knowledge.

Strategies	Performance Measures	Milestone	Date
Define, develop, and implement a process to protect and maintain LM mission-critical knowledge.	Published LM knowledge-management process is in place to execute backup and cross-training plans and employee usage of knowledge-management tools to maintain mission-critical knowledge, SOPs, templates, and other essential documents.	LM teams have drafted requisite SOPs for all key processes within the team and posted them to the LM knowledge-sharing portal.	FY 2011–FY 2014
		LM Team Leads have identified backups for key positions and developed and implemented a cross-training plan to ensure knowledge transfer.	FY 2012–FY 2015
		LM has researched and implemented a knowledge-management tool to store and share mission-critical information.	FY 2012–FY 2013
		LM has drafted a knowledge-management and sharing policy, provided training on the program, and implemented it across LM.	FY 2012–FY 2013
		LM has identified opportunities for cross-training between teams and has implemented a process to cross-train where appropriate.	FY 2012–FY 2014
		LM Team Leads have identified key work products, templates, and processes within their teams and posted them on the knowledge-sharing portal according to the LM policy.	FY 2013

# APPENDIX B

## Appendix B

### Alignment of LM Human Capital Management Objectives with DOE Human Capital Goals and Activities

#### Objective 1: Recruit, develop, and retain a best-in-class workforce.

DOE HC Goals/Activities	LM Strategies
<p><b>Goal 4 – Improve the coordination and oversight of corporate marketing, recruitment, and intern programs.</b></p> <ul style="list-style-type: none"> <li>Develop, integrate, and target effective recruitment strategies to: <ul style="list-style-type: none"> <li>Hire and maintain mission-critical occupations.</li> </ul> </li> </ul>	<p>Develop and implement a workforce plan that identifies current, and plans for future, mission-critical positions in LM.</p>
<p><b>Goal 1 – Improve Hiring Process throughout DOE.</b></p> <ul style="list-style-type: none"> <li>Develop standard PDs and publish in an online library.</li> <li>Hiring managers select interview panels, preschedule interview times, and develop interview questions before receiving applicant referral certificates.</li> <li>Better educate managers and program staff on hiring processes and flexibilities (online training course).</li> <li>Institutionalize workforce and position management preplanning.</li> <li>Improve hiring manager’s knowledge on how to conduct an effective interview.</li> <li>Provide hiring managers training on effective and efficient ways to recruit and hire.</li> <li>Hold managers and supervisors accountable for efficient and effective hiring by incorporating it into their performance plan.</li> </ul> <p><b>Goal 4 – Improve the coordination and oversight of corporate marketing, recruitment, and intern programs.</b></p> <ul style="list-style-type: none"> <li>Integrate all recruiting websites with the Department.</li> <li>Enhance oversight of corporate recruitment and intern programs.</li> <li>Establish procedures for the Pathways Program and implement new hiring authorities.</li> <li>Launch, maintain, and improve innovative recruitment strategies.</li> </ul> <p><b>Goal 7 – Focus on partnership development, customer outreach, and metrics to improve human capital performance and customer service.</b></p> <ul style="list-style-type: none"> <li>Achieve the highest possible quality of new hires as measured by at least a 70 percent satisfaction rate on survey data such as the manager satisfaction survey and the post 90-day satisfaction survey for new hires and at least an 80 percent retention rate for new career and career conditional hires over a three-year period.</li> </ul>	<p>Increase efficiency of hiring and onboarding processes and make new employees glad to be here.</p>
<p><b>Goal 3 – Provide timely and effective policies, policy guidance, and accountability oversight.</b></p> <ul style="list-style-type: none"> <li>Complete review of retention, recruiting, relocation, and student loan repayment incentives.</li> </ul>	<p>Implement retention strategies to maintain a high-quality workforce.</p>

## Appendix B (continued)

### Alignment of LM Human Capital Management Objectives with DOE Human Capital Goals and Activities

#### Objective 2: Promote a performance-based culture.

DOE HC Goals/Activities	LM Strategies
<p><b>Goal 4 – Improve the coordination and oversight of corporate marketing, recruitment, and intern programs.</b></p> <ul style="list-style-type: none"> <li>Develop, integrate, and target effective recruitment strategies to: <ul style="list-style-type: none"> <li>– Increase participation rates of underrepresented groups.</li> <li>– Promote diversity.</li> <li>– Enhance employment of veterans and people with disabilities.</li> </ul> </li> </ul>	<p>Foster demographic diversity and diversity of perspective throughout LM.</p>

#### Objective 3: Develop strong leaders throughout LM.

DOE HC Goals/Activities	LM Strategies
<p><b>Goal 6 – Corporately promote and measurably improve knowledge sharing, professional development, and learning.</b></p> <ul style="list-style-type: none"> <li>Provide a corporate approach for using competencies. <ul style="list-style-type: none"> <li>– Implement a competency-centric approach to learning and development that facilitates the selection, development, training, and management of a highly skilled, productive, and diverse workforce.</li> <li>– Establish a Department-wide, standard process for the identification, development, and use of competencies through a Departmental Competency Management Program.</li> </ul> </li> <li>Establish developmental occupational career paths that will map relative training and development to occupational competencies. Key deliverables include: <ul style="list-style-type: none"> <li>– Develop the DOE methodology for defining competencies and define the competencies.</li> <li>– Provide the automated competency assessment system.</li> <li>– Coordinate its activity across human resource functions to ensure continuity and alignment.</li> </ul> </li> </ul>	<p>Develop and implement a leadership competency model.</p>

## Appendix B (continued)

### Alignment of LM Human Capital Management Objectives with DOE Human Capital Goals and Activities

#### Objective 4: Promote employee development.

DOE HC Goals/Activities	LM Strategies
<p><b>Goal 2 – Improve human resource information technology systems.</b></p> <p><b>Goal 6 – Corporately promote and measurably improve knowledge sharing, professional development, and learning.</b></p> <ul style="list-style-type: none"> <li>• Provide the Department with an Integrated Training Management (ITM) capability that integrates subprocesses currently being done manually and independent of one another. These subprocesses include: competency gap analysis, IDPs, organizational training needs assessments (TNA), organizational training plan development, and the corporate annual training summary report. To accomplish this activity, the Department will do the following: <ul style="list-style-type: none"> <li>– Compare the current DOE Learning Management System (LMS) to other market alternatives and best practices to determine the best approach for providing ITM to DOE. <ul style="list-style-type: none"> <li>• Execute projects to integrate the competency management process with the IDP process, improve the IDP and catalog tools within the LMS, and integrate the IDP and TNA processes.</li> <li>• Implement a course evaluation tool and improved reporting and analytics capabilities.</li> </ul> </li> <li>– Provide learning and development programs that meet individual and organizational needs through the SES Career Development Program and other career development programs and supporting programs, such as mentoring.</li> <li>– Improve and integrate the planning and implementation of individual learning and strategic organizational workforce development through annual targeted increases of IDPs and annual training plans.</li> </ul> </li> </ul>	<p>Develop and staff programs to build high-quality talent within LM.</p>

#### Objective 5: Collect and leverage mission-critical knowledge.

DOE HC Goals/Activities	LM Strategies
<p><b>Goal 6 – Corporately promote and measurably improve knowledge sharing, professional development, and learning.</b></p> <ul style="list-style-type: none"> <li>• Corporately improve knowledge sharing, professional development, and learning.</li> <li>• Support knowledge sharing and professional development through providing collaborative technologies.</li> </ul>	<p>Define, develop, and implement a process to protect and maintain LM mission-critical knowledge.</p>



U.S. DEPARTMENT OF  
**ENERGY**

Legacy  
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# 2011–2015 HUMAN CAPITAL MANAGEMENT PLAN

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